

08/31/01

DOCKET NO.: 19603/1559 (CRF D-2052C)  
EXPRESS MAIL NO.: EL709323285US

## IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

UTILITY PATENT APPLICATION TRANSMITTAL FORM  
(only for new nonprovisional applications under 37 CFR 1.53(b))

ASSISTANT COMMISSIONER FOR PATENTS

Washington, D.C. 20231

BOX: PATENT APPLICATION

SIR:

Transmitted herewith for filing is the patent application (including Specification, Sequence Listing, Claims, and Abstract, 70 pages) of:

Inventor(s): **Sheng-Zhi Pang, Dennis Gonsalves, and Fuh-Jyh Jan**For : **DNA CONSTRUCT TO CONFER MULTIPLE TRAITS ON PLANTS**

*\*\*If a CONTINUING APPLICATION, please mark where appropriate and supply the requisite information below and in a preliminary amendment:*

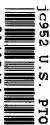
☒ continuation ☐ divisional ☐ Continuation-In-Part (CIP)  
of prior application Serial No. 09/025,635

Prior application information: Examiner : **O. Zaghmout**  
Art Unit : **1638**

Enclosed are:

☒ 7 sheets of informal drawings.☐ **Signed** Combined Declaration and Power of Attorney (\_\_\_\_ pages).☒ **Copy of signed** Combined Declaration and Power of Attorney (2 pages) from a prior application (1.63(d) (for continuation/divisional).☐ **Signed** statement deleting inventor(s) named in prior application (\_\_\_\_ pages) (1.63(d)(2) and 1.33(b)).☒ **Incorporation By Reference:** The entire disclosure of the prior application, from which a **copy** of the oath or declaration is supplied herewith, is considered as being part of the disclosure of the enclosed application and is hereby incorporated by reference therein.☐ Assignment (\_\_\_\_ pages) of the invention to \_\_\_\_\_.☐ Assignment Transmittal Letter.☐ Certified copy of a foreign priority document.☐ Associate power of attorney.☒ Applicant claims small entity status. (See 37 CFR 1.27.)☒ Preliminary Amendment (5 pages) and Appendix A (1 page).

08/30/01



09/12/15 09:21:01

- ☒ Information Disclosure Statement, form PTO-1449 (2 pages) and 24 references (not attached).
- ☐ **UNSIGNED** Combined Declaration and Power of Attorney (\_\_\_\_ pages).
- ☒ Request for Transfer of Computer Readable Record and Statement in Accordance with 37 CFR 1.821(f).
- ☒ A self-addressed, prepaid postcard acknowledging receipt.
- ☐ Other:

The Filing fee has been calculated as shown below:

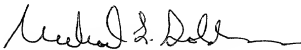
	(Col. 1)	(Col. 2)	SMALL ENTITY			LARGE ENTITY	
FOR:	NO. FILED	NO. EXTRA	RATE	FEE	OR	RATE	FEE
BASIC FEE	XXXXXXXX	XXXXXXXX	XXXX	\$355	OR	XXXX	\$710
TOTAL CLAIMS	29 - 20 =	9	x 9 =	\$ 81	OR	x 18 =	\$
INDEP CLAIMS	2 - 3 =	0	x 40 =	\$ 0	OR	x 80 =	\$
<input type="checkbox"/> MULTIPLE DEPENDENT CLAIM PRESENTED			x 135 =	\$ 0	OR	x 270 =	\$
			TOTAL	\$436	OR	TOTAL	\$

\* If the Total Claims are less than 20 and Indep. Claims are less than 3, enter "0" in Col. 2

- ☒ A check in the amount of **\$436.00** to cover the filing fee is enclosed.
- ☒ The Commissioner is hereby authorized to charge any additional fees which may be required, or credit any overpayment to Deposit Account No. 14-1138. **A duplicate copy of this sheet is enclosed.**
- ☒ Address all future communications to:

Michael L. Goldman, Esq.  
NIXON PEABODY LLP  
Clinton Square, P.O. Box 31051  
Rochester, New York 14603-1051

Date: August 30, 2001



Michael L. Goldman  
Registration No. 30,727

NIXON PEABODY LLP  
Clinton Square, P.O. Box 31051  
Rochester, New York 14603-1051  
Telephone: (716) 263-1304  
Facsimile: (716) 263-1600

**EXPRESS MAIL CERTIFICATE**

DOCKET NO.: **19603/1559 (CRF D-2052C)**  
APPLICANT: **Sheng-Zhi Pang, Dennis Gonsalves, and Fuh-Jyh Jan**  
TITLE: **DNA CONSTRUCT TO CONFER MULTIPLE TRAITS ON PLANTS**

Certificate is attached to the **Utility Patent Application Transmittal Letter (2 pages)** of the above-named application.

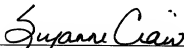
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DATE OF DEPOSIT: **August 30, 2001**

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**Suzanne Ciaio**

(Typed or printed name of person  
mailing paper or fee)



(Signature of person mailing paper  
or fee)

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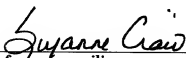
Certificate is attached to the **Preliminary Amendment (5 pages) and Appendix A (1 page)** of the above-named application.

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APPLICANTS: Sheng-Zhi Pang, Dennis Gonsalves, and Fuh-Jyh Jan  
TITLE: DNA CONSTRUCT TO CONFER MULTIPLE TRAITS ON PLANTS

Certificate is attached to the **Copy of the Utility Patent Application Including Specification, Sequence Listing, Claims, and Abstract (70 pages) and Unsigned Combined Declaration and Power of Attorney (2 pages) as filed in the prior application** of the above-named application.

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TITLE: **DNA CONSTRUCT TO CONFER MULTIPLE TRAITS ON PLANTS**

Certificate is attached to the **Request for Transfer of Computer Readable Record and Statement in Accordance with 37 CFR 1.821(f)** of the above-named application.

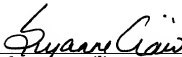
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**Suzanne Ciaio**

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or fee)

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APPLICANT: Sheng-Zhi Pang, Dennis Gonsalves, and Fuh-Jyh Jan  
TITLE: DNA CONSTRUCT TO CONFER MULTIPLE TRAITS ON PLANTS

Certificate is attached to the copy of the **SIGNED Combined Declaration and Power of Attorney Form (2 pages)** as filed in the prior application of the above-named application.

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TITLE: **DNA CONSTRUCT TO CONFER MULTIPLE TRAITS ON PLANTS**

Certificate is attached to the copy of **Informal Drawings (7 sheets)** as filed in the prior application of the above-named application.

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**Suzanne Ciaio**  
**(Typed or printed name of person**  
**mailing paper or fee)**

*Suzanne Ciaio*  
**(Signature of person mailing paper**  
**or fee)**



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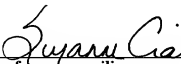
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Suzanne Ciaio  
(Typed or printed name of person  
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(Signature of person mailing paper  
or fee)

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

Applicant(s) :	Sheng-Zhi Pang, Dennis Gonsalves, and Fuh-Jyh Jan	)	Examiner:
		)	To Be Assigned
Serial No. :	Continuation of 09/025,635	)	Art Unit:
Cnfrm. No. :	Unknown	)	To Be Assigned
Filed :	Herewith	)	
For :	DNA CONSTRUCT TO CONFER MULTIPLE TRAITS ON PLANTS	)	

**REQUEST FOR TRANSFER OF COMPUTER READABLE RECORD  
AND STATEMENT IN ACCORDANCE WITH 37 CFR 1.821(f)**

Assistant Commissioner for Patents  
Washington, D.C. 20231

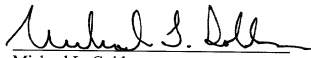
**Box: Patent Application**

Dear Sir:

Applicants hereby request that the computer readable record for the sequence information in parent U.S. Patent Application Serial No. 09/025,635 be used in the present case. In accordance with 37 CFR § 1.821(g), applicants confirm that transfer from the parent application will not constitute new matter. Pursuant to 37 CFR § 1.821(f), applicants confirm that the present application's paper copy of the sequences and the computer readable record for the sequence information being transferred from U.S. Patent Application Serial No. 09/025,635 are the same.

Respectfully submitted,

Date: August 24, 2001

  
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Registration No. 30,727

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